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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032
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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	TER-047
First Inventor	AZENKOT, et al.
Title	METHOD AND APPARATUS FOR AUTOMATIC RATE ADAPTATION IN A DOCSIS UPSTREAM
Express Mail Label No.	EV 104611779 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
 2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
 3. ☒ Specification [Total Pages (preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
 4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets - 5. Oath or Declaration [Total Pages - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent. **POST CARD RECEIPT**
17. ☐ Other: _____

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: _____ / _____

Prior application information:

Examiner _____

Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label ☐ (Insert Customer No. or Attach bar code label here) or ☒ Correspondence address below

Name	RONALD CRAIG FISH				
Address	RONALD CRAIG FISH, A LAW CORPORATION POST OFFICE BOX 2258				
City	MORGAN HILL	State	CA	Zip Code	95038
Country	US	Telephone	408-778-3624	Fax	408-776-0426

Name (Print/Type)	RONALD CRAIG FISH	Registration No. (Attorney/Agent)	28,843
Signature	<i>Ronald C. Fish</i>	Date	07/31/2003

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

03917 U.S. PTO
10/632660

07/31/03

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 627.00

Complete if Known

Application Number	
Filing Date	07/31/2003
First Named Inventor	AZENKOT, et al.
Examiner Name	
Group Art Unit	
Attorney Docket No.	TER-047

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number: 06-0932
- Deposit Account Name: Ronald Craig Fish, a Law Corporation
- ☒ Charge Any Additional Fee Required and Credit Any Overpayments Under 37 CFR 1.16 and 1.17
- ☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:
- ☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	740	201 370	Utility filing fee	375.00
106	320	206 160	Design filing fee	
107	490	207 245	Plant filing fee	
108	710	208 355	Reissue filing fee	
114	150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$) 375.00

2. EXTRA CLAIM FEES

	Extra Claims	Fee from below	Fee Paid
Total Claims 34	-20** = 14	X 9.00	= 126.00
Independent Claims 6	-3** = 3	X 42.00	= 126.00
Multiple Dependent			

	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103	18 203 9		Claims in excess of 20
102	80 202 40		Independent claims in excess of 3
104	270 204 135		Multiple dependent claim, if not paid
109	80 209 40		** Reissue independent claims over original patent
110	18 210 9		** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 252.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130 205 65		Surcharge - late filing fee or oath	
127	50 227 25		Surcharge - late provisional filing fee or cover sheet	
139	130 139 130		Non-English specification	
147	2,520 147 2,520		For filing a request for <i>ex parte</i> reexamination	
112	920* 112 920*		Requesting publication of SIR prior to Examiner action	
113	1,840* 113 1,840*		Requesting publication of SIR after Examiner action	
115	110 215 55		Extension for reply within first month	
116	390 216 195		Extension for reply within second month	
117	890 217 445		Extension for reply within third month	
118	1,390 218 695		Extension for reply within fourth month	
128	1,890 228 945		Extension for reply within fifth month	
119	310 219 155		Notice of Appeal	
120	310 220 155		Filing a brief in support of an appeal	
121	270 221 135		Request for oral hearing	
138	1,510 138 1,510		Petition to institute a public use proceeding	
140	110 240 55		Petition to revive - unavoidable	
141	1,240 241 620		Petition to revive - unintentional	
142	1,240 242 620		Utility issue fee (or reissue)	
143	440 243 220		Design issue fee	
144	600 244 300		Plant issue fee	
122	130 122 130		Petitions to the Commissioner	
123	50 123 50		Processing fee under 37 CFR 1.17(q)	
126	180 126 180		Submission of Information Disclosure Stmt	
581	40 581 40		Recording each patent assignment per property (times number of properties)	
146	710 246 355		Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710 249 355		For each additional invention to be examined (37 CFR § 1.129(b))	
179	710 279 355		Request for Continued Examination (RCE)	
169	900 169 900		Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0.00

SUBMITTED BY

Name (Print/Type)	RONALD CRAIG FISH	Registration No. (Attorney/Agent)	28,843	Telephone	408-778-3624
Signature	<i>Ronald C. Fish</i>	Date	07/31/2003		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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